

Alabama Emergency Management Agency



Functional Analysis & Records Disposition Authority

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State Records Commission
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Functional and Organizational Analysis of the Alabama Emergency Management Agency

Sources of Information

- Representatives of the Alabama Emergency Management Agency
- Code of Alabama 1975 § 31-9-1 through § 31-9-24
- Code of Alabama 1975 § 41-20-1 through § 41-20-6 (Sunset Law)
- Code of Alabama 1975 § 41-22-1 through § 41-22-27 (Administrative Procedures Act)
- Alabama Administrative Code Sections 320-0-1 through 320-3-1
- Alabama Government Manual (2002), p. 187
- Alabama Emergency Management Agency Audit Reports Alabama Emergency Management Agency website

Historical Context

Section 4, Alabama Law 1955, Act No. 47 (the Alabama Emergency Management Act) created the Department of Civil Defense. Responsibilities of the agency have been expanded over the years through executive orders. The act was amended in 1978 to provide for the making of grants to political entities of the state. On July 25, 1983, the act was amended again to rename the agency as the Alabama Emergency Management Agency (hereafter referred to as AEMA).

Agency Organization

The agency is operated by a director appointed by the governor. The director may employ, subject to the provisions of the state merit system, technical, clerical, stenographic and other personnel to carry out the agency responsibilities. Currently, the agency is organized into two bureaus with two divisions under each bureau: (1) Preparedness and Support Bureau – Administration & Resources Support Division and Preparedness Division; and (2) Operations & Field Services Bureau – Operations Division and Field Services Division. General counsel, personnel management, and public information are part of the Preparedness and Support Bureau. An organizational chart is attached.

Agency Function and Subfunctions

The mandated function of the Alabama Emergency Management Agency is to ensure that preparations of the state are adequate to deal with disasters or emergencies resulting from enemy attack/sabotage, fire, flood, earthquake, or other natural causes; to provide for the common defense and protection of the public peace, health, and safety; to preserve the lives and property of the people of the state; and to promote mutual aid among federal, state, and local governments. It is one of the agencies responsible for performing the Law Enforcement and Emergency Powers function of Alabama government.

In performance of its mandated function, the Alabama Emergency Management Agency may engage in the following subfunctions.

- **Promulgating and Planning.** The Code of Alabama 1975 § 31-9-6 empowers the governor, through AEMA, to “make, amend, and rescind the necessary orders, rules, and regulations to carry out the provisions of the chapter (Alabama Emergency Management Act).” AEMA is also authorized to “prepare a comprehensive plan and program for the emergency management of this state,” and to “coordinate the preparation of plans and programs for emergency management by the political subdivisions of this state.”
- **Coordinating Preparedness Programs.** The Code of Alabama § 31-9-6 (3) mandates the agency “to institute training programs and public information programs, and to take all other preparatory steps, including the partial or full mobilization of emergency management organizations in advance of actual disaster, to insure the furnishing of adequately trained and equipped forces of emergency management personnel in time of need.” In order to ensure that preparations of the state are adequate to deal with disasters or emergencies resulting from natural causes or other human hostile action, staff members of the agency are responsible for coordinating several preparedness programs at both the state and local levels:

Training and Exercise Program: AEMA staff conducts various training courses for state and local emergency response personnel on a regular basis. This includes training for first responders like fire fighters, law enforcement, emergency medical services, hospital workers, volunteer groups, and local government staff members. All local government entities receiving federal grant funding are required to conduct emergency exercises on a regular basis for assessment by AEMA.

Chemical Stockpile Emergency Preparedness Program (CSEPP): This is a coordinated and cooperative effort among federal/state/local government entities, the private sector, and volunteers to prevent any potential accident/incident involving chemical munitions stored at Anniston Army Depot.

Mitigation: AEMA is also the leading agency for the coordination of hazard mitigation activities statewide to reduce the long-term impact of natural disasters on communities. Agency staff members are responsible for the development and maintenance of the state hazard mitigation and reviewing/commenting on local hazard mitigation plans; the administration of the Hazard Mitigation Grant Program, a disaster assistance program which provides federal funding to state and local government entities for cost effective hazard reduction projects.

Radiological Hazards: AEMA works with various state agencies and utility companies that operate nuclear power plant facilities in the state to monitor the safe operations of those facilities. The agency also provides residents of counties around the nuclear plants with vital information on what actions to take in the event of a power plant accident.

Terrorism: After September 11, 2001, AEMA, like all of the other states across the nation, has been monitoring and sharing information with federal government entities on the potential for terrorist activities.

- **Coordinating Response and Recovery Assistance.** Provisions of the Code of Alabama 1975 § 31-9-6 mandate the agency to cooperate with the President of the United States and other federal/state agencies “in matters pertaining to the emergency management of the state and nation and the incident thereof.” Staff members of the agency coordinate and implement various response and recovery assistance programs before, during, and after a disaster or emergency occurs.

The agency operates/maintains the State Emergency Operations Center, located in Clanton, Alabama, on a twenty-four (24) hour basis. AEMA activates the center as ordered by the director or governor when an emergency or disaster occurs. Various state agency representatives work together at the center to coordinate resources for response and recovery efforts.

AEMA serves as the administrator of federal funding during times of emergency. Following a presidential declaration of major disaster or an emergency authorizing assistance to state/local government entities or eligible private non-profit organizations, AEMA provides briefings to applicants for public assistance and inspects damaged sites for cost estimates. Disaster assistance projects are then reviewed and approved by the Federal Emergency Management Agency’s regional office. The state serves as the grantee for the assistance program with overall grant management responsibility.

In addition, AEMA is responsible for coordinating an overall Mutual Aid System (MAS) in Alabama. The statewide organization includes, but is not limited to, state and local law enforcement, fire, rescue, health, and environmental agencies and hospitals. The main goals of the MAS are to identify groups and resources that can be utilized during disasters and have policies/agreements in place for dispatch, mobilization, and deployment of necessary resources in the event of a disaster

- **Administering Internal Operations.** A significant portion of the agency’s work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

Managing the Agency: Activities include internal office management work common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the state Finance Department; documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and

authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; assisting in the audit process; investing; and issuing bonds.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Alabama Emergency Management Agency

Agency Record Keeping System

The Alabama Emergency Management Agency currently operates a hybrid record keeping system composed of paper and electronic records.

The agency maintains the following servers loaded with various application software to provide different functions for its staff members: (1) Exchange 2000 to support E-Mails; (2) Lotus Notes to support the agency's statewide messaging system; (3) SQL 2000 to support agency database needs; (4) IIS (Internet We Server) to support agency website; (5) ArcIMS (Internet Mapping System) and ArsSDE (Spatial Database) to support agency GIS needs. All servers are backed up daily and backup tapes are stored both onsite and offsite in fire/waterproof safes.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Emergency Management Agency: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met. Some of the temporary records created by the Alabama Emergency Management Agency are discussed below:

- **Disaster Public Assistance Files.** Staff members of AEMA coordinate with the Federal Emergency Management Agency to obtain grants/loans to restore public systems and facilities after a disaster. This series is created to document activities associated with the application and disbursement of federal assistance for state, local communities, and nonprofit groups. Typical records may include applications for assistance, project worksheets, briefing materials, correspondence, memoranda, copies of disbursed funding, and other related materials. Code of Federal Regulations (44 CFR 13.42) requires AEMA to retain these records for three (3) years after the closure of the case.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Promulgating and Planning

- **Senior Staff Meeting Agendas, Notes, and Packets.** The agency director holds weekly or bi-weekly meetings with senior staff members. This series contains information on proposed and executed proceedings of these meetings. In addition to minutes, this series also includes meeting agendas and other supporting or reference documents. These

records should be preserved as the core documentation of the agency's operations.
(Bibliographic Title: Staff Meeting Minutes)

- **Emergency Management Plans and Operation Guides.** As mandated by the Code of Alabama 1975 § 31-9-6 (2), the agency is obligated to “prepare a comprehensive plan and program for the emergency management of this state.” This series consists of all emergency management related plans, concepts of operations, and standard operating guides created by staff members to prescribe procedures to be used during disasters, exercises, and day-to-day operations. They also outline responsibilities for specific divisions/individuals to accomplish certain assigned tasks. These records document one of the most important functions of the agency and should be preserved permanently.
(Bibliographic Title: State Publications)
- **Register of Administrative Procedures Rule Filings.** The Code of Alabama 1975 § 41-22-6, mandates that each state agency should keep a permanent register of its rules and/or regulations promulgated, whether the original or a revision, and open them to public inspection.

Coordinating Preparedness Programs

- **County Emergency Operations Plans and Guides.** This series consists of copies of emergency management related plans, concepts of operations, and standard operating guides created by each of the state's 67 counties for reference by the Alabama Emergency Management Agency (AMEA). They establish a framework for ensuring each county is adequately prepared to deal with all kinds of emergencies. These records are reviewed and updated by counties as needed. AMEA only maintains the current copies for reference. All superseded copies should be preserved to combine with the state's plans and operation guides as a key documentation on the state's emergency management program. **(Bibliographic Title: State Publications)**

Coordinating Response and Recovery Assistance

- **State Emergency Response Team Plan.** In accordance with the state's Emergency Management Assistance Compact legislation (Act No. 2001-1065), AEMA creates this plan to serve as operating procedures for deployment of the state's Emergency Response Team in time of need. The Emergency Management Assistance Compact is a mutual aid agreement and partnership among states to assist one another during emergencies. Members of this team would work with other state's emergency management agencies in overseeing all activities pertaining to disaster relief. **(Bibliographic Title: Deployment Plans and Procedures for the Alabama Emergency Response Team)**
- **Alabama Mutual Aid System (AMAS) Concept of Operations.** This series consists of standard operating procedures for response deployment of the AMAS task force teams. Members of this team would be involved in the actual disaster relief work in another state. **(Bibliographic Title: Deployment Plans and Procedures for the Alabama Mutual Aid System)**

- **Meeting Agendas, Minutes, and Packets of the Alabama Mutual Aid System Advisory Committee.** The Alabama Mutual Aid System Advisory Committee is created to ensure unanimity toward the establishment of a direction, organization, and charter to address the overall concept of mutual assistance in Alabama and to serve as a focal point for the development of mutual assistance policy and procedures. The committee is composed of about 20 members, representing various state agencies (including the Alabama Emergency Management Agency), local law enforcement agencies, and local fire departments. This series contains information on proposed and executed proceedings of the committee. In addition to minutes, this series also includes meeting agendas and other supporting or reference documents. These records should be preserved as the core documentation of the committee's operations. **(Bibliographic Title: Meeting Minutes)**

Administering Internal Operations

- **Weekly Reports to the Governor.** This series consists of weekly narrative reports prepared by the agency for review and reference by the governor. These reports should be preserved as they document highlights of the agency's weekly activities. **(Bibliographic Title: Weekly Reports)**
- **Files of the AEMA Director.** Included in these files are administrative correspondence, memoranda, programmatic records, information on speaking engagements, and other related documents. They are useful in documenting the administration of the agency. **(Bibliographic Title: Administrative Files)**
- **Informational and Educational Publications.** This series consists of various publications issued and distributed by the agency to educate and inform the general public. The publications may include reprinted articles, newsletters, video presentations, brochures, or other related materials. **(Bibliographic Title: State Publications)**
- **Press Releases.** To keep the public informed and to promote the agency's programs, AEMA releases information to the news media as needed. This series consists of statements or announcements concerning the agency and its work issued for distribution to the news media and the public. **(Bibliographic Title: State Publications)**
- **Website.** The agency has a website at: www.ema.alabama.gov. Information on the website includes the agency history, divisions' responsibilities, calendar of events, press releases, current weather, national security threat level, and related links. The website should be preserved as it serves as an important medium for communication with the public. **(Bibliographic Title: Website)**
- **Grant Project Final Narrative Reports.** The agency's primary operations are often sponsored, in part, by the federal government. The final narrative reports should be maintained permanently as documentation of the agency's fulfillment of obligations to the federal government in receiving funding. **(Bibliographic Title: Grant Project Final Narrative Reports)**

- **Inventory Lists.** The Code of Alabama 1975 § 36-16-8[1] requires that “...All [state agency] property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts.” These files need to be maintained in the agency’s office.

Permanent Records List

Alabama Emergency Management Agency

Promulgating and Planning

1. Senior Staff Meeting Agendas, Notes, and Packets
2. Emergency Management Plans and Operation Guides
3. Register of Administrative Procedures Rule Filings*

Coordinating Preparedness Programs

1. County Emergency Operations Plans and Guides

Coordinating Response and Recovery Assistance Programs

1. State Emergency Response Team Plan
2. Alabama Mutual Aid System (AMAS) Concept of Operations
3. Meeting Agendas, Minutes, and Packets of the Alabama Mutual Aid System Advisory Committee

Administering Internal Operations

1. Weekly Reports to the Governor
2. Files of the AEMA Director
3. Informational and Educational Publications
4. Press Releases
5. Website
6. Grant Project Final Narrative Reports
7. Inventory Lists*

*indicates records that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Alabama Emergency Management Agency Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama Emergency Management Agency. The RDA lists records created and maintained by the Alabama Emergency Management Agency in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of Alabama Emergency Management Agency records. Copies of superseded schedules are no longer valid and may not be used for records disposition.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of

material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alabama Emergency Management Agency and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

Promulgating and Planning

SENIOR STAFF MEETING AGENDAS, NOTES, AND PACKETS

Disposition: PERMANENT RECORD.

EMERGENCY MANAGEMENT PLANS AND OPERATION GUIDES

Disposition: PERMANENT RECORD.

REGISTER OF ADMINISTRATIVE PROCEDURES RULE FILINGS

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 41-22-6).

Administrative Procedures Rule Filings

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Administrative Procedures Rule Hearing Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Coordinating Preparedness Programs

COUNTY EMERGENCY OPERATIONS PLANS AND GUIDES

Disposition: PERMANENT RECORD.

Disaster Mitigation Assistance Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the case is settled.

Training Schedule Calendar and Course Announcements

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Training Records (Applications, Attendee Rosters, Student Critiques, and Instructor Qualification Documents)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Training Instructor Contracts

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

Quarterly Training and Exercising Reports Submitted by Local Emergency Management Agencies

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Coordinating Response and Recovery Assistance

STATE EMERGENCY RESPONSE TEAM PLAN

Disposition: PERMANENT RECORD.

ALABAMA MUTUAL AID SYSTEM CONCEPT OF OPERATIONS

Disposition: PERMANENT RECORD.

MEETING AGENDAS, MINUTES, AND PACKETS OF THE ALABAMA MUTUAL AID SYSTEM ADVISORY COMMITTEE

Disposition: PERMANENT RECORD.

Alabama Mutual Aid System Agreements

Disposition: Temporary Record. Retain 1 year or after renewal, whichever is last.

Disaster Public Assistance Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the case was settled.

County Strategic National Stockpile Plans

Disposition: Temporary Record. Retain until superseded.

Emergency Contact Tracking System Database (EM2000)

Disposition: Temporary Record. Retain until superseded.

Electronic Dialogic Communication Database

Disposition: Temporary Record. Retain until superseded.

County Map and Contact Database (EMAP)

Disposition: Temporary Record. Retain until superseded.

Administering Internal Operations: Managing the Agency

FILES OF THE AEMA DIRECTOR

Disposition: PERMANENT RECORD.

WEEKLY REPORTS TO THE GOVERNOR

Disposition: PERMANENT RECORD.

WEBSITE

Disposition: PERMANENT RECORD. Preserve a complete copy of website annually or as often as significant changes are made.

INFORMATIONAL AND EDUCATIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

PRESS RELEASES

Disposition: PERMANENT RECORD.

Routine Correspondence/Memoranda

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the implementation of the agency's RDA (copies of transmittal forms to Archives or State Records Center, destruction notices or other evidence of obsolete records destroyed, annual reports to State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA was superseded.

System Documentation (hardware/software manuals and diskettes, warranties)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists in the agency and all permanent records have been migrated to a new system.

Staff Requests for Communication and/or Computer Services

Disposition: Temporary Record. Retain until the service is completed.

Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies

Disposition: Temporary Record. Retain 3 years.

Administering Internal Operations: Managing Finances

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and canceled checks

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract (Code of Alabama 1975 § 6-2-34).

Agency Audit Reports

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

Records documenting grants

- a. GRANT PROJECT FINAL NARRATIVE REPORTS

Disposition: PERMANENT RECORD.

- b. Records documenting routine grant activities and compliance with grant program requirements

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was closed.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. Original Bid Records Maintained in the Purchasing Office of the Agency for Contracts over \$7500
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Administering Internal Operations: Managing Human Resources

Records documenting job recruitment

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Records documenting job description

Disposition: Temporary Record. Retain until superseded.

Certification/Personnel Transaction Files

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Records documenting application for employment

Disposition: Temporary Record. Retain 1 year after request.

Records documenting an employee's work history - generally maintained as a case file

- a. Records documenting work history of employees
Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.
- b. Records, located within divisions/offices, which document an employee's work history
Disposition: Temporary Record. Retain 1 year after separation of employee from the agency.

Records documenting receipt of calling cards by staff and agreement of internet use

Disposition: Temporary Record. Retain until separation of employee.

Records documenting payroll (e.g. pre-payroll report, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting employees' daily and weekly work schedules

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting final leave status

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting verification of accuracy of State Personnel Department records

Disposition: Temporary Record. Retain for useful life.

Records documenting Equal Employment Opportunity (Code of Federal Regulations Title 29)

a. Compliance Records

Disposition: Temporary Record. Retain 3 years after the close of the program year.

b. Complaint Records

Disposition: Temporary Record. Retain 3 years from the date of resolution of the complaints.

State Employees Injury Compensation Trust Fund Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Worker Compensation Injury and Settlement Reports

Disposition: Temporary Record. Retain 12 years after the end of the fiscal year in which the transaction occurred (Code of Alabama 1975 § 25-5-4).

Employee Flexible Benefits Plan Files (applications and correspondence)

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Employee Administrative Hearing Files

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Administering Internal Operations: Managing Properties, Facilities, and Resources**INVENTORY LISTS**

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8[1]).

Letters of Transmittal

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Agency Copies of Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Computer Equipment Inventory Records

Disposition: Temporary Record. Retain until disposition of equipment.

Electronic Equipment Repair Logs

Disposition: Temporary Record. Retain for useful life.

Service Requests

Disposition: Temporary Record. Retain until work is completed.

Incident/Accident Reports

Disposition: Temporary Record. Retain 2 years following incident/accident.

Facility/Building Security Records

Disposition: Temporary Record. Retain for useful life.

Fire Extinguisher and Alarm Maintenance / Inspection Records

Disposition: Temporary Record. Retain 2 years.

Fire / Safety Inspection Results

Disposition: Temporary Record. Retain until superseded.

Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles owned by the agency

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the vehicle is removed from the property inventory.

Insurance Policies / Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Alabama Emergency Management Agency (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in October of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The board should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the board chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on August 3, 2005.

Edwin C. Bridges, Chairman, by Tracey Berezansky
State Records Commission

Date

Receipt acknowledged:

Bruce P. Baughman, Director
Alabama Emergency Management Agency

Date